

FORM PTO-1390 (REV 10-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 103140-5PCT
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>09/719430</b>
INTERNATIONAL APPLICATION NO. PCT/US00/10535	INTERNATIONAL FILING DATE 19 April 2000(19.04.00)	PRIORITY DATE CLAIMED April 23, 1999(23.04.99)	
TITLE OF INVENTION WORKPIECE AUTHENTICATION BASED UPON ONE OR MORE WORKPIECE IMAGES			
APPLICANT(S) FOR DO/EO/US SMITH, Joshua R.			

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
- ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
- ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - ☒ is attached hereto (required only if not communicated by the International Bureau).
  - ☐ has been communicated by the International Bureau.
  - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
- ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - ☐ are attached hereto (required only if not communicated by the International Bureau).
  - ☐ have been communicated by the International Bureau.
  - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - ☒ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 16 below concern document(s) or information included:**

- ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
- ☐ A substitute specification.
- ☐ A change of power of attorney and/or address letter.
- ☒ Other items or information:
  - PCT/RO/101
  - PCT/IPEA/401
  - PCT/1B/308
  - PCT International Search Report



# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 2,074

Complete If Known

Application Number	Yet to be assigned
Filing Date	Herewith
First Named Inventor	Joshua R. Smith
Examiner Name	Not Yet Assigned
Group / Art Unit	Not yet assigned
Attorney Docket No.	103140-0005PCT

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **03-1237**  
 Deposit Account Name **Cesari and McKenna, LLP**

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. §§1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	35	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					0

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
83	20**	63 x 18	1,134
Independent Claims	4	3**	1 x 80 = 80
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

#### Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 1,214

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Fee Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English Specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	128	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility Issue fee (or reissue)	
143	440	243	220	Design Issue fee	
144	600	244	300	Plant Issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
Other (specify) Basic National Fee					860
Other fee (specify)					
SUBTOTAL (3) (\$)					860

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Complete (if applicable)

Typed or Printed Name	Christopher K. Gagne	Reg. Number	36,142
Signature		Date	December 12, 2000
		Deposit Account User ID	

JG01 Rec'd PCT/PTO 12 DEC 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:	)	
Joshua R. Smith	)	
	)	
Serial No.: Yet to be assigned	)	Examiner: Not Yet Assigned
	)	
Filed: Herewith	)	
	)	Art Unit: Not yet assigned
For: WORKPIECE AUTHENTICATION	)	
BASED UPON ONE OR MORE	)	
WORKPIECE IMAGES	)	
	)	
		Cesari and McKenna, LLP
		88 Black Falcon Avenue
		Boston, MA 02210
		December 12, 2000

**EXPRESS-MAIL DEPOSIT**

"Express Mail" Mailing-Label Number: EL 705596147US

The following papers are being deposited with the United States Postal Service  
"Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. §1.10:

<u>X</u> Patent Application ( 42 pages including 83 claims )	
<u>X</u> Declaration and Power of Attorney	<u>X</u> Fee Transmittal Letter
<u>X</u> (DO/EO/US) Transmittal Letter	<u>X</u> Formal Drawings ( 7 sheets )
<u>X</u> Check No. 21373 for \$2,074.00	<u>X</u> Information Disclosure Statement
<u>X</u> PTO-1449 and Copies of References	<u>X</u> PCT/IPEA/401
<u>X</u> PCT/RO/101	<u>X</u> PCT/IB/308